



PATENT  
Attorney Docket No.: NICHIA-00700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: ) Group:  
Shuji Nakamura *et al.* ) Art Unit:  
Serial No.: 09/463,643 ) Examiner:  
Filed: January 25, 2000 )  
For: **NITRIDE SEMICONDUCTOR** ) **TRANSMITTAL LETTER**  
**DEVICE** ) 260 Sheridan Avenue, Suite 420  
                                 ) Palo Alto, CA 94306  
                                 ) (650) 833-0160

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Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed please find an Information Disclosure Statement and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. An originally executed duplicate of this transmittal is enclosed for this purpose.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 9/8/00

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

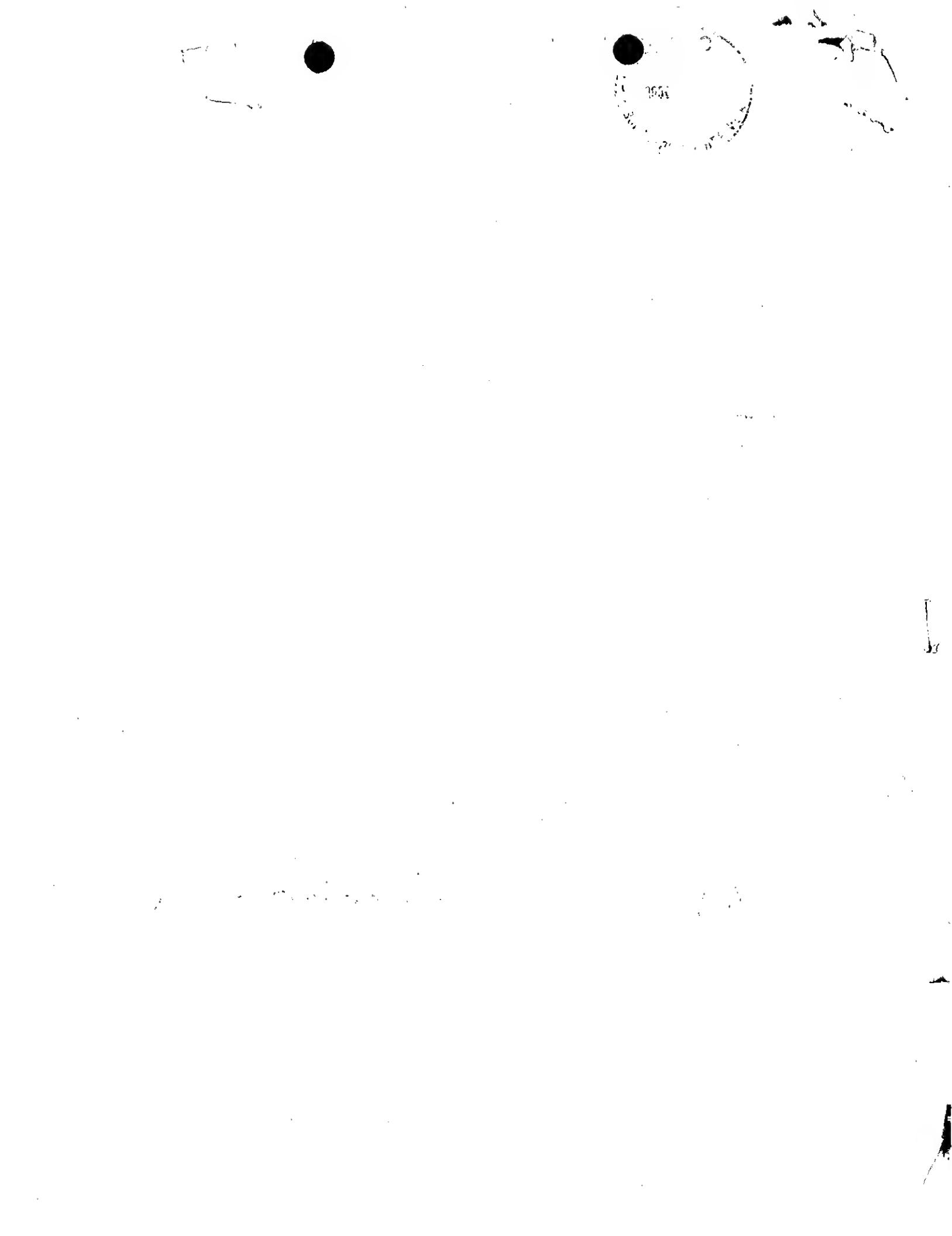
Attorneys for Applicants

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

HAVERSTOCK & OWENS LLP  
Date: 9/8/00 By: Carleen O'Sullivan -1-

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**PATENT**  
Attorney Docket No.: NICHIA-00700

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#8

In re Application of: ) Group Art Unit: 4-11-01  
Shuji Nakamura *et al.* ) Examiner: T. Flanagan  
Serial No.: 09/463,643 ) **INFORMATION DISCLOSURE**  
Filed: January 25, 2000 ) **STATEMENT**  
For: **NITRID SEMICONDUCTOR** ) 260 Sheridan Avenue, Suite 420  
**DEVICE** ) Palo Alto, California 94306  
                          ) (650)833-0160

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Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicants have become aware of the following printed publications which may be material to the examination of this application:

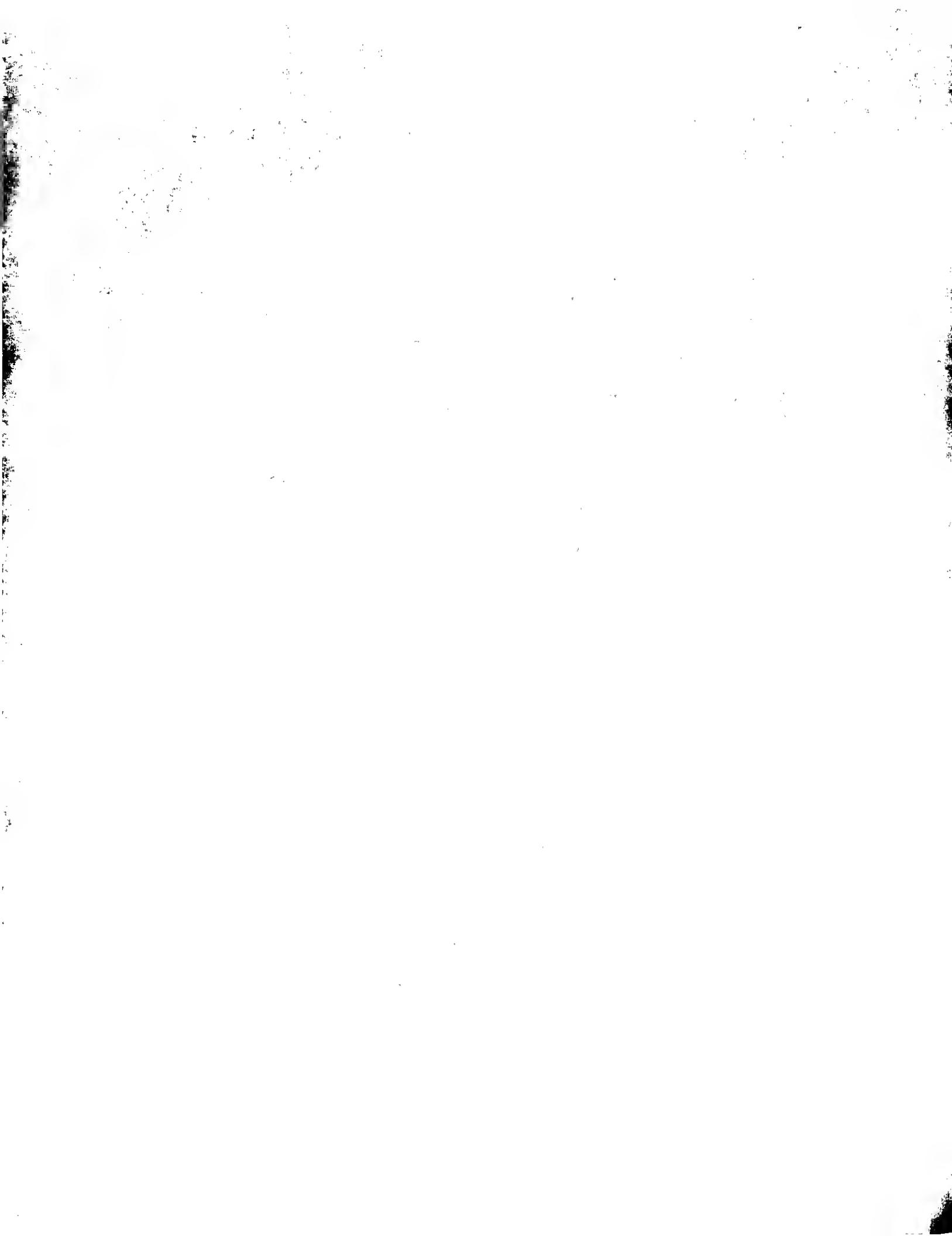
- Japanese Publication No.: 04144294;
- Japanese Publication No.: 09180998;
- Japanese Publication No.: 09246651;
- Japanese Publication No.: 09260772;
- Japanese Publication No.: 09293935;
- Japanese Publication No.: 10242565;
- Japanese Publication No.: 10256645;
- Japanese Publication No.: 10270792;
- Japanese Publication No.: 10290027;

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HAVERSTOCK & OWENS LLP.  
Date: 9/18/00 By: Carlene O'Driscoll



PATENT

Attorney Docket No.: NICHIA-00700

- Japanese Publication No.: 10294529;
- Japanese Publication No.: 10321962;
- Japanese Publication No.: 11040893;
- Japanese Publication No.: 2000-31599;
- German Publication No.: DE 196 48 955A1; and
- "InGaN/GaN/AIGaN-based laser diodes with modulation-doped strained-layer superlattices grown on an epitaxially laterally overgrown GaN substrate," Shuji Nakamura et al., Applied Physics Letter, Vol. 72, No. 2, January 12, 1998.

This Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,

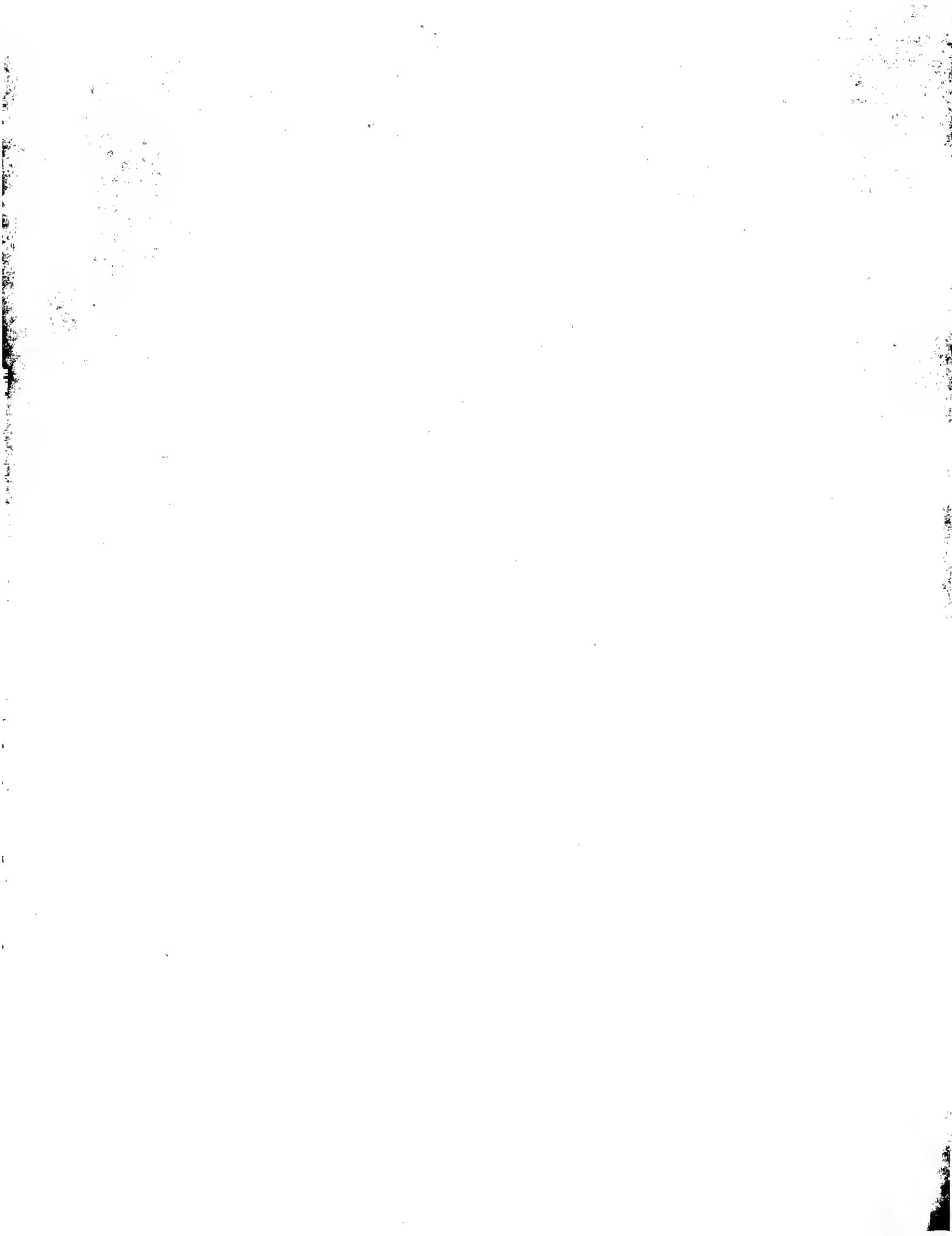
HAVERSTOCK & OWENS LLP

Dated: 9/8/00

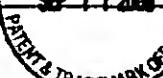
By: Thomas B. Haverstock

Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants



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FORM PTO-1449  
(Modified)U.S. Department of Commerce  
Patent and Trademark Office

Attorney Docket No.: NICHIA-00700

Serial No.: 09/463,643

INFORMATION DISCLOSURE STATEMENT BY APPLICANT  
(Use Several Sheets If Necessary)

(37 CFR § 1.98(b))

Applicant: Shuji Nakamura et al.

Filing Date: January 25, 2000

Group Art Unit:

## FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

|              |    | Document Number | Publication Date | Country / Patent Office | Class | Subclass | Translation |    |
|--------------|----|-----------------|------------------|-------------------------|-------|----------|-------------|----|
|              |    |                 |                  |                         |       |          | Yes         | No |
| BWB          | AA | 04144294        | 5/18/92          | JP                      | HO1S  | 3/18     | X           |    |
| 1            | AB | 09180998        | 7/11/97          | JP                      | HO1L  | 21/20    | X           |    |
|              | AC | 09246651        | 9/19/97          | JP                      | HO1S  | 3/18     | X           |    |
|              | AD | 09260772        | 10/3/97          | JP                      | HO1S  | 3/18     | X           |    |
|              | AE | 09293935        | 11/11/97         | JP                      | HO1S  | 3/18     | X           |    |
|              | AF | 10242565        | 9/11/98          | JP                      | HO1S  | 3/18     | X           |    |
|              | AG | 10256645        | 9/25/98          | JP                      | HO1S  | 3/18     | X           |    |
|              | AH | 10270792        | 10/9/98          | JP                      | HO1S  | 3/18     | X           |    |
|              | AI | 10290027        | 10/27/98         | JP                      | HO1L  | 33/00    | X           |    |
|              | AM | 10294529        | 11/4/98          | JP                      | HO1S  | 3/18     | X           |    |
|              | AN | 10321962        | 12/4/98          | JP                      | HO1S  | 3/18     | X           |    |
| BWB          | AN | 11040893        | 2/12/99          | JP                      | HO1S  | 3/18     | X           |    |
| NO TRANS     | AO | 2000-31599      | 1/26/00          | JP                      | HO1S  | 3/30     |             | X  |
| NO TRANSLATN | AP | DE 196 48 955A1 | 5/28/97          | DE                      | HO1L  | 33/00    |             | X  |
|              | AQ |                 |                  |                         |       |          |             |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

|    |                                                                                                                                                                                                                                     |
|----|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| AR | "InGaN/GaN/AIGaN-based laser diodes with modulation-doped strained-layer superlattices grown on an epitaxially laterally overgrown GaN substrate," Shuji Nakamura et al., Applied Physics Letter, Vol. 72, No. 2, January 12, 1998. |
| AS |                                                                                                                                                                                                                                     |
| AT |                                                                                                                                                                                                                                     |
| AU |                                                                                                                                                                                                                                     |
| AV |                                                                                                                                                                                                                                     |
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| BA |                                                                                                                                                                                                                                     |
| BB |                                                                                                                                                                                                                                     |

Examiner: Shuji NakamuraDate Considered: 9/15/01

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

